

**UTILITY  
PATENT APPLICATION  
TRANSMITTAL**

(Only for new nonprovisional applications under 37 CFR 1.53(b))

**Attorney Docket No.:** 2001\_1542A

**First Named Inventor :** Hideki HAYASHI et al.

**Title:** OPTICAL HEAD AND APPARATUS FOR AND METHOD OF STORING AND REPRODUCING OPTICAL INFORMATION

**Express Mail Label No.:**

**APPLICATION ELEMENTS**

See MPEP chapter 600 concerning utility patent application contents.

- |  |   |
|--|---|
| 1. <input checked="" type="checkbox"/> Fee Transmittal Form<br><i>(Submit an original, and a duplicate for fee processing)</i>   | 7. <input type="checkbox"/> CD-ROM or CD-R in duplicate, large table or computer program (Appendix)   |
| 2. <input type="checkbox"/> Small Entity Status is hereby asserted.  | 8. <input type="checkbox"/> Nucleotide and/or Amino Acid Sequence Submission<br><i>(if applicable, all necessary)</i>                               |
| 3. <input checked="" type="checkbox"/> Specification<br><i>(preferred arrangement set forth below)</i>   | a. <input type="checkbox"/> Computer Readable Form  |
| - Descriptive title of the Invention   | b. Specification Sequence Listing on:   |
| - Cross References to Related Applications   | i. <input type="checkbox"/> CD-ROM or CD-R (2 copies); or   |
| - Statement Regarding Fed sponsored R & D  | ii. <input type="checkbox"/> Paper  |
| - Reference to Sequence Listing, a table, or a computer program listing appendix.  | c. <input type="checkbox"/> Statement verifying identity of above copies  |
| - Background of the Invention  |   |
| - Brief Summary of the Invention   |   |
| - Brief Description of the Drawings <i>(if filed)</i>  |   |
| - Detailed Description   |   |
| - Claim(s)   |   |
| - Abstract of the Disclosure   |   |
| 4. <input checked="" type="checkbox"/> Drawing(s) <i>(35 USC 113)</i>  | <i>[Total Sheets: 10]</i>   |
| 5. <input checked="" type="checkbox"/> Oath or Declaration   | <i>[Total Pages : 3]</i>  |
| a.1. <input type="checkbox"/> Newly executed (original or copy)  | 9. <input type="checkbox"/> Assignment Papers (cover sheet & document(s))   |
| a.2. <input checked="" type="checkbox"/> Unexecuted  | 10. <input type="checkbox"/> 37 CFR 3.73(b) Statement <i>(when there is an assignee)</i>  |
| b. <input type="checkbox"/> Copy from a prior application (37 CFR 1.63(d))<br><i>(for continuation/divisional with Box 18 completed)</i>   | i. <input type="checkbox"/> Power of Attorney   |
| i. <input type="checkbox"/> <b><u>DELETION OF INVENTOR(S)</u></b><br>Signed statement attached deleting inventor(s) named in the prior application, see 37 CFR 1.63(d)(2) and 1.33(b). | 11. <input type="checkbox"/> English Translation Document <i>(if applicable)</i>  |
| 6. <input type="checkbox"/> Application Data Sheet (see 37 CFR 1.76)   | 12. <input type="checkbox"/> Information Disclosure Statement (IDS)/PTO-1449  |
|  | i. <input type="checkbox"/> Copies of IDS Citations   |
|  | 13. <input type="checkbox"/> Preliminary Amendment  |
|  | 14. <input checked="" type="checkbox"/> Return Receipt Postcard (MPEP 503) <i>(Should be specifically itemized)</i>                                 |
|  | 15. <input type="checkbox"/> Certified Copy of Priority Document(s)<br><i>(if foreign priority is claimed)</i>                                      |
|  | 16. <input type="checkbox"/> Request and Certification under 35 U.S.C. 122 (b)(2)(B)(i).<br>Applicant must attach form PTO/SB/35 or its equivalent. |
|  | 17. <input checked="" type="checkbox"/> Other <b>COVER LETTER FOR APPLICATION FILED WITHOUT EXECUTED DECLARATION</b>                                |

18. If a CONTINUING APPLICATION, check appropriate box, and supply the requisite information below, and in a preliminary amendment, or in an Application Data Sheet:

Continuation       Divisional       Continuation-in-part (CIP)      of prior application No.

Prior Application Information: Examiner      Group Art Unit

For CONTINUATION OR DIVISIONAL APPS only: The entire disclosure of the prior application, from which an oath or declaration is supplied under Box 5b, is considered a part of the disclosure of the accompanying continuation or divisional application and is hereby incorporated by reference therein. The incorporation can only be relied upon when a portion has been inadvertently omitted from the submitted application parts.

19. CORRESPONDENCE ADDRESS



000513

PATENT TRADEMARK OFFICE

By:   
Michael S. Huppert  
Registration No. 40,268

WENDEROTH, LIND & PONACK, L.L.P.  
2033 "K" Street, N.W., Suite 800  
Washington, D.C. 20006-1021  
Phone:(202) 721-8200  
Fax:(202) 721-8250

October 12, 2001

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of

Hideki HAYASHI et al.

Serial No. NEW

: Attn: APPLICATION BRANCH

Filed October 12, 2001

: Attorney Docket No. 2001\_1542A

OPTICAL HEAD AND APPARATUS FOR AND  
METHOD OF STORING AND REPRODUCING  
OPTICAL INFORMATION

**PATENT OFFICE FEE TRANSMITTAL FORM**

Assistant Commissioner for Patents,  
Washington, DC 20231

Sir:

Attached hereto is a check in the amount of \$740.00 to cover Patent Office fees relating to filing the following attached papers:

New application ..... \$740.00

Assignment for Recordal ..... \$

Additional Claims Fee:

Excess of Twenty ..... \$

Independent ..... \$

Multiple Dependent Fee ..... \$

A duplicate copy of this paper is being submitted for use in the Accounting Division, Office of Finance.

*The Commissioner is authorized to charge any deficiency or to credit any overpayment associated with this communication to Deposit Account No. 23-0975, with the EXCEPTION of deficiencies in fees for multiple dependent claims in new applications.*

Respectfully submitted,

Hideki HAYASHI et al.

By Michael S. Huppert

Michael S. Huppert

Registration No. 40,268

Attorney for Applicants

MSH/kjf

WENDEROTH, LIND & PONACK, L.L.P.  
2033 K St., N.W., Suite 800  
Washington, D.C. 20006-1021  
Telephone (202) 721-8200  
October 12, 2001

[Check No. 46923]  
2001\_1542A

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of

Hideki HAYASHI et al.

: Attn: APPLICATION BRANCH

Serial No. NEW

: Docket No. 2001\_1542A

Filed October 12, 2001

OPTICAL HEAD AND APPARATUS FOR  
AND METHOD OF STORING AND  
REPRODUCING OPTICAL INFORMATION

THE COMMISSIONER IS AUTHORIZED  
TO CHARGE ANY DEFICIENCY IN THE  
FEE FOR THIS PAPER TO DEPOSIT  
ACCOUNT NO. 23-0975.

**COVER LETTER FOR APPLICATION FILED  
WITHOUT EXECUTED DECLARATION**

Assistant Commissioner for Patents,

Washington, DC 20231

Sir:

The above-identified application has been submitted without an executed oath or declaration pursuant to 37 CFR 1.41(c).

It is respectfully requested that this application be assigned a serial number and awarded a filing date pursuant to 37 CFR 1.53.

A duly executed oath or declaration pursuant to 37 CFR 1.63 will be submitted after notification by the U.S. Patent and Trademark Office pursuant to 37 CFR 1.53(f).

A non-executed copy of the Declaration and Power of Attorney, containing the inventorship information, is attached. It is respectfully requested that all communications be directed to the firm indicated on the attached Declaration and Power of Attorney, namely:

WENDEROTH, LIND & PONACK, L.L.P.  
2033 K Street, N.W., Suite 800  
Washington, D.C. 20006-1021

The required U.S. Patent and Trademark Office Filing Fee is submitted herewith.

Respectfully submitted,

Hideki HAYASHI et al.

By *Michael S. Huppert*  
Michael S. Huppert  
Registration No. 40,268  
Attorney for Applicants

MSH/kjf  
Washington, D.C. 20006-1021  
Telephone (202) 721-8200  
Facsimile (202) 721-8250  
October 12, 2001

G E R M A N Y A U S T R I A C R O A T I A